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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 1441.1E**Effective Date: January 29,
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Request Notification of Change (NASA Only)

Subject: NASA Records Management Program Requirements

Responsible Office: Office of the Chief Information Officer[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) | [AppendixB](#) | [AppendixC](#) | [AppendixD](#) | [AppendixE](#) | [AppendixF](#) | [AppendixG](#) | [ALL](#) |

Appendix E. NASA Records Retention Schedules Update Procedures

E.1 Occasionally, the creation of new record types, changes in the nature of records, or changes in NASA business requirements for retention of sets of records necessitate creation of a new retention schedule item, or revision of an existing one.

E.2 When situations like this arise, owners or custodians of the records in question should coordinate with their Center Records Manager to propose new/revised schedules as quickly as possible and as often as necessary in order to ensure all NASA records are scheduled.

E.3 To facilitate the timely updating of the NRRS, a process of submitting and reviewing proposed schedules is provided in this document. The steps below describe this process and identify the actions for each step. After a proposed schedule is approved, an update entry will be made to NRRS 1441.1, including an entry in the Change History log. The NASA Records Officer will then notify all Center Records Managers and the change requesting office of the approval and NRRS update.

E.4 NRRS Change Proposal Process

E.4.1 This process should be followed when a record or records series cannot be identified in either NRRS 1441.1, as revised, or the NARA GRS. Records of this nature are considered "unscheduled." Unscheduled records stay in this state until a schedule approval from NARA is granted. Unscheduled records are managed as though "Permanent," meaning they cannot be destroyed until NARA has appraised them and/or a new schedule has been established.

E.4.2 When the Record Owner determines that a type of record, or series of records, either does not exist in the NRRS or needs modification, the Record Owner is to contact the NASA Center Records Manager to help develop a proposed schedule for the records. The RM will appraise the records and assist the Record Owner in drafting a new schedule following an existing one as a model. No one knows records better than the people who create and/or work with them. Thus, the owner's lead in providing input is imperative.

E.4.3 If a new schedule is being proposed, it should be formatted the same as existing schedules, with a description of the nature of the records explaining what they are and how they are used. Proposed retentions should also be indicated as either "permanent," if they are of a historically significant nature, or "temporary."

E.4.4 If a new temporary item is added, the retention should be based on the Agency's business need or regulatory requirements for the records. Do they need to be retained for a set amount of time to meet regulatory requirements (such as from EPA)? Or do they need to be retained for a period during which an audit is feasible? If there are no external drivers of a retention period, the owner is free to determine how long the office will have need of them for the purposes they are being held.

E.4.5 If an existing schedule with modifications could better fit the records, a revision may be proposed. Likewise, if there is need to retain records longer than the current schedule, or a subset of records needs to be called out for a shorter retention, a schedule revision may be more appropriate. In any of these cases, the Records Owner may copy an existing schedule item from the NRRS and "redline" it.

E.4.6 If the schedule is for records of a function spanning the entire Agency, it would be ideal to coordinate the records description(s) and retention(s) with the entire community.

E.4.7 A written justification of why the new or revised schedule is needed should be provided by the applicable Center Records Manager, together with the proposed schedule item(s), to the NASA Records Officer. The justification may be as simple as, "These records are unscheduled."

E.4.8 All proposed changes and recommendations may be submitted by the Center Records Manager (or with the Center Records Manager copied) via e-mail to the NASA Records Officer, NASA Headquarters.

E.4.9 Each Center may have its own supplemental procedures for developing proposed schedules, but the procedure(s) should at least follow the steps in the table below.

Step	Action Officer	Action
1	Record Owner	Verify with the Center Records Manager and NASA Records Officer that no schedule exists to cover the records.
2	Record Owner	<p>Coordinate with Center Records Manager to either revise an existing schedule or create a new schedule. This includes determining the functions and activities documented by the records to be scheduled, developing an inventory of the records, including a description of the records, informational content, their use, medium, location, volume, and inclusive dates.</p> <p>In addition, evaluate the period of time the Agency requires use of each specific record series or system by reference to its uses and value to operations or legal obligations. Based on Agency needs, formulate specific recommended disposition instructions for each record series or each part of an automated information system. Include cutoff instructions, retention periods, including length of time to retain onsite, instructions for retirement of records to inactive storage, if appropriate, and retention period before destruction of temporary records or transfer of permanent records to the National Archives. Recommend retention periods taking into account the rights of the Government and the rights of those directly affected by Agency actions.</p>
3	Record Owner	Submit Draft schedule and justification to the Center Records Manager for review and approval.
4	Center Records Manager	Review submittal. This review includes coordinating all proposed changes with other officials and offices creating and maintaining similar records at the Center.
5	Center Records Manager	If neither an NRRS nor GRS schedule exists for Agency needs, coordinate a review of the proposed change to the NRRS by the Center Office of Chief Counsel.
6	Center Records Manager	If the proposal is disapproved, the Center Records Manager notifies the Record Owner and works with the Record Owner to correct the problem.
7	Center Records Manager	If the proposal is approved at the Center level, forward the proposed schedule and any attachments to the other Center Records Manager(s) for review and comments (2-3 week review period).
8	Other RM(s)	Each Center Records Manager should determine if the records described in the proposal are applicable to that Center. If they are, that RM should have the appropriate Center organization review and provide comment on the proposal.
9	Originating Center Records Manager	Consolidate all Center comments into one response with Centers noted and send to the NASA Records Officer with the resultant proposed schedule and attachments. If a Center has no comments, a "no comments" notice will be included in the package.

10	NASA Records Officer	Review the proposal, making any modifications needed based on current NARA and/or Government Accounting Office general guidance.
11	NASA Records Officer	Send the revised schedule, with attachments, to the Office of NASA General Counsel for review and concurrence.
12	Office of the General Counsel	Review proposed schedule and submit comments to the NASA Records Officer. If the General Counsel has no comments, a concurrence with "no comments" reply should be sent to the NASA Records Officer.
13	NASA Records Officer	Disposition comments, if any. Then, finalize and enter the schedule into ERA for NARA's review and approval.
14	NARA	Review the proposed schedule and either approve or disapprove it.
15	NASA Records Officer	If NARA disapproves the proposed schedule, work with NARA and the submitting Center to make necessary modifications to obtain NARA approval. Coordinate any additional NASA reviews required because of the changes.
16	NASA Records Officer	Upon NARA approval of the proposed schedule, enter the approved retention in the NRRS and publish the updated NRRS in NODIS. Provide notice of NARA approval to all Center Records Managers. Update the NRRS Change History page accordingly.
17	Center Records Manager	Upon notification of a NARA-approved retention schedule, provide appropriate Center notification(s), e.g., to Center RLOs and custodians, of the changes to the NRRS.

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